

**Amendments to the Claims:**

This listing of claims will replace all prior versions, and listings of claims in the application:

**Listing of Claims:**

Claims 1. - 21. (canceled)

Claim 22. (new) A computer system for tracking regulatory governed communications between a securities broker and one or more clients, comprising:

a broker side server and communications interface for communicating with a data repository database and one or more client computers, the broker side server programmed with a set of instructions comprising

generating a client side interface, the client side interface including a plurality of unique customer request categories,

receiving one or more selections from the plurality of customer request categories,

determining data necessary to document the communications between the broker side server and the one or more client computers,

retrieving the data necessary to document the communications between the broker side server and the one or more client computers,

verifying if the retrieved data substantially complies with required information, and

repeating the retrieving step until the data substantially complies with the required information; and

the data repository database programmed with a set of instructions for storing the data necessary to document the communications between the broker side server and the one or more client computers.

Claim 23. (new) The computer system of claim 22 wherein the plurality of unique customer request categories comprises recommendations.

Claim 24. (new) The computer system of claim 23 wherein recommendations further comprise a category for recommendations with a solicited trade placed.

Claim 25. (new) The computer system of claim 22 wherein the communications between the broker side server and the one or more client computers comprise buy or sell recommendations.

Claim 26. (new) The computer system of claim 22 wherein the communications between the broker side server and the one or more client computers comprise a basis for making buy or sell recommendations.

Claim 27. (new) The computer system of claim 22 wherein the broker side server comprises an advice tracking program executable by the one or more client computers, wherein the advice tracking program comprises instructions for:

- selecting customer interaction records stored in the database; and
- reviewing the selected customer interaction records.

Claim 28. (new) The computer system of claim 27 wherein the selected customer interaction records are reviewed to monitor compliance with trading regulations.

Claim 29. (new) The computer system of claim 27 wherein the advice tracking program further comprises instructions for:

- searching the customer interaction records stored in the database according to one or more parameters; and
- presenting the customer interaction records that satisfy the one or more parameters.

Claim 30. (new) The computer system of claim 22 wherein the data repository database stores the data using at least one of the following categories: customer, prospect, or organization.

Claim 31. (new) The computer system of claim 22 wherein the set of instructions further comprises creating an assessment record for a customer.

Claim 32. (new) A method for tracking regulatory governed communications between a securities broker and one or more clients, comprising:

facilitating communication between a broker side server, a data repository database, and one or more client computers, the broker side server programmed with a set of instructions comprising

generating a client side interface, the client side interface including a plurality of unique customer request categories,

receiving one or more selections from the plurality of customer request categories,

determining data necessary to document the communications between the broker side server and the one or more client computers,

retrieving the data necessary to document the communications between the broker side server and the one or more client computers,

verifying if the retrieved data substantially complies with required information, and

repeating the retrieving step until the data substantially complies with the required information; and

storing the data necessary to document the communications between the broker side server and the one or more client computers in the data repository database.

Claim 33. (new) The method of claim 32 wherein the plurality of unique customer request categories further comprises recommendations.

Claim 34. (new) The method of claim 33 wherein recommendations further comprise a category for recommendations with a solicited trade placed.

Claim 35. (new) The method of claim 32 wherein the communications between the broker side server and the one or more client computers comprise buy or sell recommendations.

Claim 36. (new) The method of claim 32 wherein the communications between the broker side server and the one or more client computers comprise a basis for making buy or sell recommendations.

Claim 37. (new) The method of claim 32 wherein the broker side server further comprises an advice tracking program executable by the one or more client computers, wherein the advice tracking program comprises instructions for:

- selecting customer interaction records stored in the database; and
- reviewing the selected customer interaction records.

Claim 38. (new) The method of claim 37 wherein the selected customer interaction records are reviewed to monitor compliance with trading regulations.

Claim 39. (new) The method of claim 37 wherein the advice tracking program further comprises instructions for:

- searching the customer interaction records stored in the database according to one or more parameters; and
- presenting the customer interaction records that satisfy the one or more parameters.

Claim 40. (new) The method of claim 32 wherein the data repository database stores the data using at least one of the following categories: customer, prospect, or organization.

Claim 41. (new) The method of claim 32 wherein the set of instructions further comprises creating an assessment record for a customer.